

**APPENDIX 2**  
**GENERAL RETENTION SCHEDULE FOR PAYROLL/PERSONNEL RECORDS**

| <b>GROUP NUMBER</b> | <b>FORM</b> | <b>DESCRIPTION OF RECORDS</b>        | <b>RECOMMENDED RETENTION PERIOD</b>  |
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| 1.                  | CD 37       | Payroll Transaction                  | Retain two years from end of pay period involved. Then retain two more years or until audited, whichever occurs first.   |
| 2.                  | CD 38       | Payroll Warrant Register             | Retain two years from end of pay period involved. Then retain two more years or until audited, whichever occurs first.   |
| 3.                  | CD 46       | Shift Differential                   | <p><b>Document Retention Agencies:</b> Retain five years from pay period involved.</p> <p><b>All Other Agencies.</b> Retain two years from end of pay period involved. Then retain two more years, or until audited, whichever occurs first.</p> |
| 4.                  | CD 48       | Student Assistance Attendance Report | <p><b>Document Retention Agencies:</b> Retain five years from pay period involved.</p>   |
| 5.                  | CD 66       | Report of Exceptions                 | Retain two years from end of pay period involved. Then retain two more years or until audited, whichever occurs first.   |

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| 6.  | HBD 12      | Health Benefit Plan   | Retain as "Current" until superseded or canceled.  |
| 7.  | HBD 21      | Health Benefits Plan for Direct Payment While in Non-pay Status             | Retain as "Current" until superseded or canceled.  |
| 8.  | HBD 38      | Health Benefits Plan Health Statement Enrollment                            | Retain as "Current" until superseded or canceled.  |
| 9.  | PERS-155    | Notice of Change and/or Certification of Contribution Rate                  | Retain as "Current" until employee separates from state service. Then retain according to type of separation. See Item 78.                           |
| 10. | PERS-283    | Certification of Correction-Member Contribution and Collections Due         | Retain as "Current" until employee separates from state service. Then retain according to type of separation. See Item 78.                           |
| 11. | SCIF 3067   | Report of Occupational Injury or Illness                                    | Retain as "Active" until settlement of the claim or closing of the case. Then retain two years. DO NOT file in employee's Official Personnel folder. |
| 12. | SPB 100-125 | Request for TAU Authorization   | Retain one year from effective date of appointment.  |
| 13. | SPB 300-903 | Deep Class Alternative Substantiation                                       | Retain three years or until audited by the State Personnel Board, whichever occurs first.  |
| 14. | SPB 215     | Application for Temporary Employment (This retention period date applies to | <b>Employee Hired-</b><br>Retain two years from appointment date.  |

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|     |             | applications for a specific vacancy. Retention of "casual" applications is optional to the agency.) | <b>Not Hired</b> -Retain two years after completion of interview process.   |
| 15. | STD.<br>241 | Beneficiary Designation (PERS)  | Retain as "Current" until superseded or canceled.   |
| 16. | STD.<br>242 | U.S. Savings Bonds Purchase/Payroll Deduction Authorization   | Retain as "Current" until superseded or canceled.   |
| 17. | STD.<br>243 | Designation of Persons Authorized to Receive Warrants   | Retain as "Current" until superseded or canceled.   |
| 18. | STD.<br>261 | Authorization to Use Privately Owned Vehicle  | Retain as "Current" until superseded or canceled.   |
| 19. | STD.<br>268 | Accident Report (Other than Motor Vehicle)  | Retain as "Active" until settlement of the claim or closure of case. DO NOT file in employee's Official Personnel folder.                       |
| 20. | STD.<br>277 | Savings Plus Enrollment Authorization   | Retain as "Current" until superseded or canceled.   |
| 21. | STD.<br>278 | Superior Accomplishment Award Recommendation  | Retain three years or until audited by the Merit Award Board, whichever occurs first.   |
| 22. | STD.<br>407 | Change in Payroll Header  | Retain two years from end of fiscal year involved. Then retain two more years or until audited, whichever occurs first (maximum of four years). |

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| 23. | STD.<br>410  | Authorization for Payment of Premiums for Government Life Insurance by Payroll Deduction | Retain as "Current" until superseded or canceled.   |
| 24. | STD.<br>456  | Personnel/Payroll Transaction (CSU only) (three-part turnaround)                         | <p><b>Document Retention Campuses:</b> Retain for a period of no less than six (6) months following the close of the fiscal year in which the data was key entered to the State Controller's Employment History Data Base.</p> <p><b>All Other Campuses:</b> Retain pending copy of STD. 456A until turnaround is received.</p> |
| 25. | STD.<br>456A | Personnel/Payroll Transaction (CSU only) (three-part padded)                             | <p><b>Document Retention Campuses:</b> Retain for a period of no less than six (6) months following the close of the fiscal year in which the data was key entered to the State Controller's Employment History Data Base.</p> <p><b>All Other Campuses:</b> Retain pending copy of STD. 456A until turnaround is received.</p> |
| 26. | STD.<br>457  | Student Payroll Action Request (CSU only)  | <p><b>Document Retention Campuses:</b> Retain for a period of no less than six (6) months following the close of the fiscal year in which the data was key entered to the State Controller's Employment History Data Base.</p>  |

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|     |               |                                     | <b>All Other Campuses:</b><br>Retain as "Current" until status changes.  |
| 27. | STD.<br>603   | Report of Absences Without Pay      | <b>Document Retention Agencies:</b> Retain five years from pay period involved.<br><br><b>All other Agencies:</b> Retain two years after Pay Period involved. Then retain two more years or until audited, whichever occurs first (maximum of four years). |
| 28. | STD.<br>607   | Change in Established Position      | Retain two years from end of fiscal year involved. Then retain two more years or until audited, whichever comes first (maximum of four years).   |
| 29. | STD.<br>608   | Established Position                | Retain as "Current" until Record (Permanent) position is abolished or reclassified. Then retain two years from end of fiscal year involved.  |
| 30. | STD.<br>608A  | Established Position Record         | Retain as "Current" until Record (Temporary) position is abolished or reclassified. Then retain two years from end of fiscal year involved.  |
| 31. | STD.<br>610HQ | Health Questionnaire/Medical Report | Retain as "Active" until employee separates from state service. Then retain FIVE YEARS after separation. NOTE:   |

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|     |               |  | Medical records must be kept in a sealed envelope.  |
| 32. | STD.<br>610   | Health Questionnaire   | Retain as "Active" until employee separates from state service. Then retain FIVE YEARS after separation. <u>NOTE:</u> Medical records must be kept in a sealed envelope.        |
| 33. | STD.<br>610HQ | Medical Examination Report and Supplemental Information Dealing with Exposure to Toxic Substances or Harmful Physical Agents | Retain as "Active" until employee separates from state service. Then retain THIRTY YEARS after separation. <u>NOTE:</u> Medical records must be kept in a sealed envelope.      |
| 34. | STD.<br>611   | Employee Record  | Retain as "Active" until employee separates from state service. Then retain according to type of separation. See Item 78.   |
| 35. | STD.<br>612   | Employee Transfer Data   | Retain as "Active" until employee separates from state service. Then retain according to type of separation. See Item 78.   |
| 36. | STD.<br>613   | Position Justification   | Retain as "Active" until superseded; retain two years from end of fiscal year involved. Retain two more years or until audited, whichever occurs first (maximum of four years). |

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| 37. | STD.<br>616 | Standard Clearance and Waiver                     | Retain three years or until audited by the State Personnel Board, whichever occurs first.  |
| 38. | STD.<br>619 | Industrial Disability Benefits Information        | Retain as "Active" until superseded.   |
| 39. | STD.<br>625 | Classification and/or Certification Request       | Retain three years or until audited by the State Personnel Board, whichever occurs first.  |
| 40. | STD.<br>630 | Employee Contract Grievance                       | Retain as "Active" until the problem is resolved. Then retain three years from the date of resolution. DO NOT file in the employee's Official Personnel folder.  |
| 41. | STD.<br>634 | Absence and Additional Time Worked                | Retain four years.   |
| 42. | STD.<br>636 | Report of Performance for Probationary Employee   | Retain first, second, and final report until superseded by first STD. 637 (Individual Development Plan). <b>EXCEPTION:</b> If there is evidence of possible adverse (punitive) action, retain all three for three years plus current report. (Government Code 19365 permits adverse action within three years of cause.) |
| 43. | STD.<br>637 | Performance Appraisal/Individual Development Plan | Retain as "Current" until superseded. <b>EXCEPTION:</b> If there is evidence of possible adverse (punitive) action, retain three   |

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|     |              |                                       | years.  |
| 44. | STD.<br>639  | Salary Garnishment                    | Retain as "Active" until garnishment is satisfied. Then retain four years from end of pay period involved or until audited, whichever occurs first.   |
| 45. | STD.<br>644  | Annual Statement of Leave Credits     | Retain four years from date of statement.   |
| 46. | STD.<br>645  | Employee Suggestion (MAB)             | Retain three years from date of final decision by the Merit Award Administrator.  |
| 47. | STD.<br>645a | Suggestion Evaluation Report          | Retain three years from date of final decision by the Merit Award Administrator.  |
| 48. | STD.<br>650  | Miscellaneous Deduction Change Report | Retain two years from end of pay period involved.   |
| 49. | STD.<br>651  | Employee's Job Description            | Retain as "Current" until superseded. Then retain as necessary for operations history.<br><br><b>NOTE:</b> Job description for a seasonal clerk may be kept in the Official Personnel folder. A copy may be kept at the job site. |
| 50. | STD.<br>664  | Certification of Eligibles            | Retain three years or until audited by the State Personnel Board, whichever occurs first.   |
| 51. | STD.<br>673  | Report of Extra Hours To Be Paid      | <b>Document Retention Agencies:</b> Retain five years from pay period   |



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| 52. | STD.<br>674  | Payroll Adjustment Notice  | <b>Document Retention Agencies/Campuses:</b><br>Retain five years from pay period involved.  |
| 53. | STD.<br>675  | Supplementary Wage Deductions (Moving Expenses, etc.)  | <b>All Other Agencies/Campuses:</b><br>Retain two years from pay period involved. Then retain two more years or until audited whichever occurs first (maximum of four years).          |
| 54. | STD.<br>676  | Non-USPS Adjustment Request (Fringe Benefit/Employee Business Expense)   | Retain as "Current" until end of tax year of transaction. Then retain four years.  |
| 55. | STD.<br>678  | Examination Application (This retention period applies to applications for a specific vacancy. Retention of "casual" applications is an optional process to the agency.) | <b>Employee Hired-</b><br>Retain two years following appointment date.<br><br><b>Not Hired-</b> Retain two years after completion of interview process.                                |
| 56. | STD.<br>680  | Personnel Action Request (three-part turnaround) (Civil Service only)  | Retain as "Current" until end of tax year of transaction. Then retain four years.  |
| 57. | STD.<br>680A | Personnel Action Request   | <b>Document Retention Agencies:</b> Retain for a   |

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|     |             |   | period of no less than six (6) months following the close of the fiscal year in which the data was key entered into the State Controller's Employment History Data Base.   |
| 58. | STD.<br>682 | Authorization for Extra Hours           | <p><b>Document Retention Agencies:</b> Retain for a period of no less than six (6) months following the close of the fiscal year in which the data was key entered into the State Controller's Employment History Data Base.</p> <p><b>All Other Agencies:</b> Retain as "Current" until status changes and new turnaround received.</p> |
| 59. | STD.<br>683 | Authorization for Compensating Time Off | Retain two years from end of pay period involved. Then retain two more years or until audited, whichever occurs first (maximum of four years).   |
| 60. | STD.<br>686 | Employee Action Request                 | <p><b>Document Retention Agencies/Campuses:</b> Retain for a period of no less than six (6) months following the close of the fiscal year in which the data was key entered to the State Controller's Employment History Data Base.</p>  |

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|     |             |  | <b>All Other Agencies/Campuses:</b><br>Retain as "Current" until status changes.   |
| 61. | STD.<br>687 | Separation/Disposition of PERS Contributions | Retain per type of separation. See Item 78.  |
| 62. | STD.<br>688 | Oath of Office                               | Retain as "Current" until employee separates from state service. Then retain according to type of separation. See Item 78. |
| 63. | STD.<br>689 | Oath of Allegiance/Permission to Work        | Retain as "Current" until employee separates from state service. Then retain according to type of separation. See Item 78. |
| 64. | STD.<br>691 | Dental Enrollment Plan Authorization         | Retain as "Current" until superseded or canceled.  |
| 65. | STD.<br>696 | Dental Plan Direct Payment Authorization     | Retain as "Current" until superseded or canceled.  |
| 66. | STD.<br>698 | Life Insurance Enrollment Authorization      | Retain as "Current" until superseded or canceled.  |
| 67. | STD.<br>730 | Statement of Economic Interests              | Retain as "Current" until superseded or canceled.  |
| 68. | STD.<br>912 | Military Service Declaration                 | Retain until employee separates from state service. Retain according to type of separation. See                            |

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|     |  |   | Item 78.  |
| 69. |  | Adverse (Punitive)  | Retain three years or whatever is stipulated in the agreement.  |
| 70. |  | <b>Class Specifications</b>                                   |   |
|     |  | A. General  | Retain as "Current" until superseded or canceled.   |
|     |  | B. Unique to an Agency  | Retain as "Current" until superseded or canceled. Then retain an appropriate number of years for history file as required by the agency.              |
| 71. |  | <b>Correspondence (related to a specific employee)</b>        |   |
|     |  | A. Job-related  | Retain no longer than three years from date of issue, giving due consideration to timeliness, relevance, and necessity.                               |
|     |  | B. Layoff   | Retain five years after employee separates.   |
|     |  | C. Workers Compensation                                       | Retain as "Current" until settlement of the claim or closure of the case. Then retain two years. Do not file in employee's Official Personnel folder. |
| 72. |  | Emergency Form Indicating Whom to Notify in Case of Emergency | Retain as "Current" until superseded or canceled.   |
| 73. |  | Employee Designation of                                       | Retain as "Current" until   |

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|     |  | Physician in Case of On-the-Job Injuries  | superseded or canceled.   |
| 74. |  | <b>Examination of Announcements</b>   |   |
|     |  | <b>A.</b> Departmental  | Retain as "Current" until superseded or canceled.   |
|     |  | <b>B.</b> Other Departments   | Retain as "Current" until superseded or canceled.   |
|     |  | <b>C.</b> Service wide  | Retain as "Current" until superseded or canceled.   |
| 75. |  | Grievances (Merit Issue)  | Retain as "Active" until the Problem is resolved. Then retain three years from date of resolution. Do not file in employee's Official Personnel folder. |
| 76. |  | Official Personnel Folder   | Retain as "Active" until employee separates from state service. Then retain according to type of separation. See Item 78.                               |
| 77. |  | Revolving Fund Forms  | Retain two year from end of pay period involved. Then retain two more years or until audited, whichever occurs first (maximum of four years).           |
| 78. |  | <b>Separation Records</b>   |   |
|     |  | <b>A.</b> Resignation without Fault, Voluntary Retirement, Rejection on Probation | Retain five years from effective date of separation.  |

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|     |  | <b>B. Layoff</b>   | Retain five years from effective date of separation.  |
|     |  | <b>C. Disability Retirement, Terminal by Disciplinary Action, Resignation with Fault, AWOL</b> | Retain until person reaches age 70.   |
| 79. |  | State Service Reconciliation Forms/Cards   | Retain as "Active" until employee separates from state service. Then retain according to type of separation. See Item 78.   |
| 80. |  | Subject to Proper Placement Letter   | Retain as "Active" until employee separates from state service.<br><b>EXCEPTION:</b> If the State Personnel Board Medical Officer or his/her designee determines that employment restrictions no longer apply, the letter shall be destroyed. <u>NOTE:</u> Medical records must be kept in a sealed envelope. |
| 81. |  | Tax Sheltered Annuity Forms  | Retain as "Current" until superseded or canceled.   |
| 82. |  | NOPA (Notice of Personnel Action)  | Retain as "Current" until superseded or canceled.   |